



DEC 08 2006
Docket No.: P2001,0273 D

CERTIFICATION OF MAILING OR TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 or facsimile transmitted to the U.S. Patent and Trademark Office on the date shown below.

By

December 5, 2006

Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant	:	Matthias Goldbach et al.	Confirmation No.: 9490
Applic. No.	:	10/780,075	
Docket No.	:	P2001,0273 D	
Filed	:	February 17, 2004	
Title	:	Stress-Reduced Layer System	
Examiner	:	Hoai Pham	Group Art Unit: 2814

Hon. Commissioner for Patents
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR § 1.97(d)

Sir:

In accordance with 37 CFR 1.98, the following patents and/or publications are cited herewith:

United States Patent Application Publication US 2002/0171099 A1 (Sato et al.), dated November 21, 2002;

Japanese Patent JP 2000-269462 (Sato et al.), dated September 29, 2000, and English abstract thereof;

German Office Action dated September 14, 2006.

In accordance with 37 CFR § 1.97(e) the undersigned herewith states that each item of information contained in the above information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

In accordance with 37 CFR § 1.97(d), consideration of this Information Disclosure Statement is requested. Enclosed is the fee in the amount of \$180.00.

United States Patent US 5,913,125 (Brouillette et al.), dated June 15, 1999;

United States Patent US 5,905,279 (Nitayama et al.), dated May 18, 1999;

United States Patent US 6,180,480 B1 (Economikos et al.), dated January 30, 2001;

German Patent DE 44 28 195 C1 (Willer et al.), dated April 20, 1995, and corresponding United States Patent US 5,866,452, dated February 2, 1999.

The above-mentioned references were cited in an *Information Disclosure Statement* dated April 24, 2002, in parent application No. 10/131,358.

K. Yamada et al.: "A Deep- Trenched Capacitor Technology For 4 Mega Bit Dynamic RAM", Proceedings of International Electronic Devices and Materials, IEDM 85, 1985, pp.702-705.

The above-mentioned reference was cited in an *Information Disclosure Statement* dated May 23, 2003, in parent application No. 10/131,358.

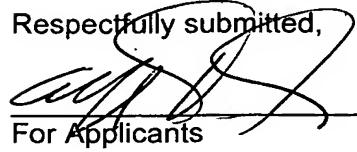
United States Patent US 6,265,741 (Schrems), dated July 24, 2001.

The above-mentioned reference was cited in an Office Action dated April 14, 2003, in parent application No. 10/131,358.

If no translation of pertinent portions of any foreign language patents or publications mentioned above is included with the aforementioned copies of those applications, patents and/ or publications, it is because no existing translation is readily available to the applicant.

As per the Notice in 1273 OG 55 (August 5, 2003) no copies of any above-mentioned U.S. patents and U.S. patent application publications are submitted for any application filed after June 30, 2003.

Respectfully submitted,


For Applicants

Date: December 5, 2006

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52,794



Sheet 1 of 1

FORM PTO-1449 (SUBSTITUTE) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (37 CFR 1.98(b))		Attorney Docket No.: P2001,0273 D	Applic. No. 10/780,075
		Applicant Matthias Goldbach et al.	
		Filing Date February 17, 2004	Group Art Unit 2814

EXAMINER INITIALS		PATENT NO.	DATE	PATENTEE	CLASS	SUB CLASS	FILING DATE
	A	2002/0171099 A1	11/2002	Sato et al.			
	B	5,913,125	06/1999	Brouillette et al.			
	C	5,905,279	05/1999	Nitayama et al.			
	D	6,180,480 B1	01/2001	Economikos et al.			
	E	5,866,452	02/1999	Willer et al.			
	F	6,265,741	07/2001	Schrems			
	G						
	H						
	I						

FOREIGN PATENT DOCUMENT

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB CLASS	TRANSL. YES NO
	J	2000-269462	09/2000	Japan			
	K	44 28 195 C1	04/1995	Germany			
	L						
	M						
	N						

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

	O	K. Yamada et al.: "A Deep- Trenched Capacitor Technology For 4 Mega Bit Dynamic RAM", Proceedings of International Electronic Devices and Materials, IEDM 85, 1985, pp.702-705
	P	

EXAMINER	DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.